



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Kazuo SHIMIZU et al. :
Serial No. 10/670,499 : **Attn: APPLICATION BRANCH**
Filed September 26, 2003 : Attorney Docket No. 2003-1274A
POLISHING APPARATUS

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 listed below is enclosed, except a copy is not provided for each U.S. patent and/or U.S. patent publication reference.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing date of the first Office Action on the merits,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:

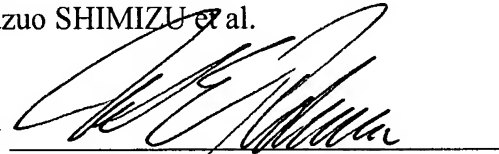
- a. ☐ a full or partial English language translation submitted herewith,

- b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page ,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Kazuo SHIMIZU et al.

By



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November 5, 2003

THE COMMISSIONER IS AUTHORIZED
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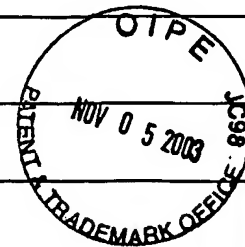
FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: November 5, 2003

ATTY DOCKET NO.
2003-1274ASERIAL NO.
10/670,499APPLICANT
Kazuo SHIMIZU et al.FILING DATE
September 26, 2003

GROUP



U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,910,846	6/1999	Sandhu			
	AB	6,108,092	8/2000	Sandhu			
	AC	5,672,091	9/1997	Takahashi et al.			
	AD	5,838,447	11/1998	Hiyama et al.			
	AE	5,893,796	4/1999	Birang et al.			
	AF	5,899,792	5/1999	Yagi			
	AG	6,280,289	8/2001	Wiswesser et al.			
	AH	6,524,165	2/2003	Wiswesser et al.			
	AI	6,296,548	10/2001	Wiswesser et al.			
	AJ	6,334,807	1/2002	Lebel et al.			
	AK	6,399,501	6/2002	Birang et al.			
	AL	6,494,766	12/2002	Wiswesser et al.			
	AM	6,503,767	1/2003	Korovin			
	AN	6,506,097	1/2003	Adams et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AO							
	AP							

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	
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EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

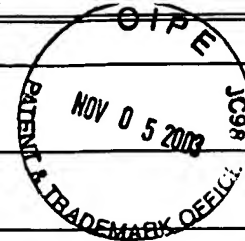
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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,102,775	8/2000	Ushio et al.			
	AB	6,159,073	12/2000	Wiswesser et al.			
	AC	6,476,921	11/2002	Saka et al.			
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	02/103779	12/2002	WO			
	AK	02/103777	12/2002	WO			
	AL	1066925A2	1/2001	EP			
	AM						
	AN						

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